

PATENT  
2028.594000

## DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or the below named inventors are the original, first and joint inventors (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **ASCORBIC ACID PRODUCTION FROM YEAST**, the Specification of which:

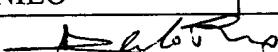
is attached hereto.  
 was filed on \_\_\_\_\_ as Application Serial No. \_\_\_\_\_

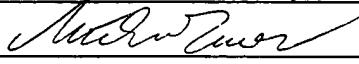
I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby direct that all correspondence and telephone calls be addressed to Raymund F. Eich, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I HEREBY DECLARE THAT ALL STATEMENTS MADE OF MY OWN KNOWLEDGE ARE TRUE AND THAT ALL STATEMENTS MADE ON INFORMATION AND BELIEF ARE BELIEVED TO BE TRUE; AND FURTHER THAT THESE STATEMENTS WERE MADE WITH THE KNOWLEDGE THAT WILLFUL FALSE STATEMENTS AND THE LIKE SO MADE ARE PUNISHABLE BY FINE OR IMPRISONMENT, OR BOTH, UNDER SECTION 1001 OF TITLE 18 OF THE UNITED STATES CODE AND THAT SUCH WILLFUL FALSE STATEMENTS MAY JEOPARDIZE THE VALIDITY OF THE APPLICATION OR ANY PATENT ISSUED THEREON.

Inventor's Full Name:	DANILO	PORRO
Inventor's Signature:		
Country of Citizenship:	Italy	Date: 26/07/2020
Residence Address: (city and state or country)	Erba (Como), Italy	
Post Office Address: (street, number, city, state, and/or country)	Department of Biotechnology and Biosciences P.zza della Scienza No. 2, 20126 Milano, Italy	

Inventor's Full Name:	MICHAEL	SAUER
Inventor's Signature:		
Country of Citizenship:	<u>Germany</u>	Date: 26/7/2000
Residence Address: (city and state or country)	Mäder, Austria	
Post Office Address: (street, number, city, state, and/or country)	Department of Biotechnology and Biosciences P.zza della Scienza No. 2, 20126 Milano, Italy	

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Danilo Porro  
Michael Sauer

Serial No.: Unknown

Filed: Concurrently Herewith

For: ASCORBIC ACID PRODUCTION FROM  
YEAST

Group Art Unit: Unknown

Examiner: Unknown

Atty. Dkt. No.: 2028.594000/RFE

**ELECTION UNDER 37 C.F.R. §§ 3.71 AND 3.73  
AND POWER OF ATTORNEY**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned, being Assignee of record of the entire interest in the above-identified application by virtue of an assignment recorded in the United States Patent and Trademark Office as set forth below, hereby elects, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventors.

The Assignee hereby revokes any previous Powers of Attorney and appoints:

Danny L. Williams, Reg. No. 31,892; Terry D. Morgan, Reg. No. 31,181; J. Mike Amerson, Reg. No. 35,426; Kenneth D. Goodman, Reg. No. 30,460; Barbara S. Kitchell, Reg. No. 33,928; Jeffrey A. Pyle, Reg. No. 34,904; Randall C. Furlong, Reg. No. 35,144; Scott F. Diring, Reg. No. 35,119; George J. Oehling, Reg. No. 40,471; Shelley P.M. Fussey, Reg. No. 39,458; Mark D. Moore, Reg. No. 42,903; Carolanne M. King, Reg. No. 44,914; Louis H. Iselin, Reg. No. 42,684; and Raymund F. Eich, Reg. No. 42,508;

each an attorney or agent of the firm of WILLIAMS, MORGAN & AMERSON, P.C., as its attorney or agent for so long as they remain with such firm, with full power of substitution and revocation, to prosecute the application, to make alterations and amendments therein, to transact all business in the Patent and Trademark Office in connection therewith, and to receive any Letters Patent, and for one year after issuance of such Letters Patent to file any request for a certificate of correction that may be deemed appropriate.

Pursuant to 37 C.F.R. § 3.73, the undersigned has reviewed the evidentiary documents, specifically the Assignment to Biopolo S.C.a.R.L., referenced below, and certifies that to the best of my knowledge and belief, title remains in the name of the Assignee.

Please direct all communications as follows:

Raymund F. Eich  
WILLIAMS, MORGAN & AMERSON, P.C.  
7676 Hillmont, Suite 250  
Houston, Texas 77040  
(713) 934-7000

ASSIGNEE:  
BIOPOLO S.C.R.L.

By: BIOPOLO S.C.R.L.  
Name: LUIGI RICCIARDI  
Title: GENERAL MANAGER BIOPOLO S.C.R.L.

Date: 27/07/2000

ASSIGNMENT:

Concurrently filed  
 Previously recorded

Date: \_\_\_\_\_  
Reel: \_\_\_\_\_  
Frames: \_\_\_\_\_



UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

SEPTEMBER 28, 2000

PTAS

WILLIAMS, MORGAN & AMERSON, P.C.  
RAYMUND F. EICH  
7676 HILLMONT, SUITE 250  
HOUSTON, TEXAS 77040



DOC FILING DEPT. \*101433125A\*

08/02/2000

WILLIAMS, MORGAN & AMERSON

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/02/2000

REEL/FRAME: 010987/0321

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

PORRO, DANILO

DOC DATE: 07/26/2000

ASSIGNOR:

SAUER, MICHAEL

DOC DATE: 07/26/2000

ASSIGNEE:

BIOPOLO S.C.A.R.L.  
GASPARE GOZZI 8  
MILANO, ITALY

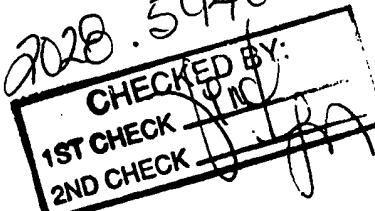
SERIAL NUMBER: 09630983

FILING DATE: 08/02/2000

PATENT NUMBER:

ISSUE DATE:

MARY BENTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



08-15-2000



101433125

U.S. Department of Commerce

JC629 U.S.P.T.O.  
09/03/00  
09/03/00  
09/03/00

FORM PTO-1595  
(Rev 6-93)

OMB No. 0651-0011 (exp. 4/94) 8.2.00

## PATENTS ONLY

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original document or copy thereof.

1. Name of conveying parties:  <b>DANILO PORRO</b> <b>MICHAEL SAUER</b>		2. Name and address of receiving party:  Name: <b>BIOPOLO S.C.a.R.L.</b>
Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Internal Address:  Street Address: <b>Gaspare Gozzi 8</b>
3. Nature of conveyance:  <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other		City: <b>Milano</b> Country: <b>Italy</b> Zip:  Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Execution Date: <b>July 26, 2000</b>		
4. Application number(s) or registration number(s):  If this document is being filed together with a new application, the execution date of the application is: <b>July 26, 2000</b>		
A. Patent Application No.(s):  <b>09630983</b>		B. Patent No.(s):
Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
5. Name and address of party to whom correspondence concerning document should be mailed:  Name: <b>Raymund F. Eich</b> <b>Williams, Morgan &amp; Amerson, P.C.</b> <b>7676 Hillmont, Suite 250</b>  City: <b>Houston</b> State: <b>Texas</b> Zip: <b>77040</b>		6. Total number of applications and patents involved: <b>1</b>
		7. Total fee (37 C.F.R. 3.41) <b>\$ 40.00</b>
		<input checked="" type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account if check insufficient or inadvertently omitted
8. Deposit account number: <b>50-0786/2028.594000RFE</b> (Attach duplicate copy of this page if paying by deposit account)		
DO NOT USE THIS SPACE		
9. Statement and signature.  <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i>		
Raymund F. Eich		<i>Raymond F. Eich</i> 8/2/00
Name of Person Signing, Reg. No. <b>42,508</b>		Signature
Date		
Total number of pages including cover sheet, attachments and documents: <b>4</b>		

## EXPRESS MAIL MAILING LABEL

NUMBER: **ELS2249412US**  
DATE OF DEPOSIT: **AUGUST 2, 2000**

I hereby certify that this paper or fee is being deposited with the United States Postal Service with sufficient postage "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to: BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington D.C. 20231.

08/11/2000 BUTLER 00000026 09630983  
04 FC:501

**40.00**

Signature

PATENT  
FILE NO. 2028.594000

A S S I G N M E N T

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, do hereby:

SELL, ASSIGN AND TRANSFER to Biopolis S.C.a.R.L., a Corporation of Italy (the "Assignee"), having a place of business at via Gaspare Gozzi, 8, Milano, Italy, the entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, which has been executed by the undersigned concurrently herewith and is entitled "**ASCORBIC ACID PRODUCTION FROM YEAST**" such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting title to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;

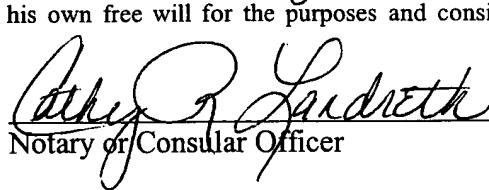
TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

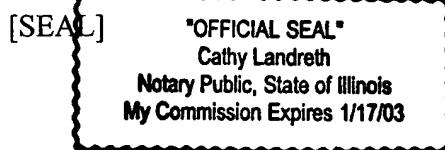
Signature:   
Name: Danilo Porro

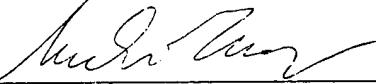
Date: 26/07/2000

STATE OF ILLINOIS )  
                      )  
COUNTY OF MACON   )

BEFORE ME, the undersigned authority, on this 26 day of July, 2000, personally appeared Danilo Porro, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

  
\_\_\_\_\_  
Notary or Consular Officer

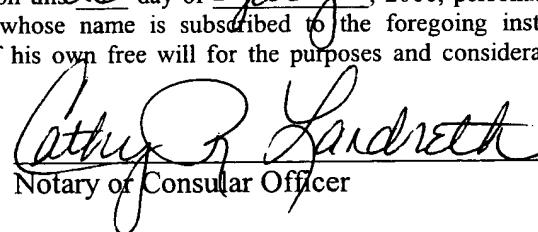


Signature:   
Name: Michael Sauer

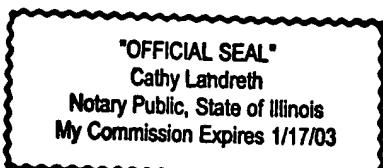
Date: 26/07/2000

STATE OF ILLINOIS      )  
                      )  
COUNTY OF MACON     )

BEFORE ME, the undersigned authority, on this 26 day of July, 2000, personally appeared Michael Sauer, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

  
\_\_\_\_\_  
Notary or Consular Officer

[SEAL]



## RECORDATION FORM COVER SHEET

U.S. Department of Commerce

OMB No. 0651-0011 (exp. 4/94)

**PATENTS ONLY**

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original document or copy thereof.

1. Name of conveying parties:

**DANILO PORRO**  
**MICHAEL SAUER**

Additional name(s) of conveying party(ies) attached?  Yes  No

3. Nature of conveyance:

Assignment  
 Security Agreement  
 Other

Merger  
 Change of Name

Execution Date: **July 26, 2000**

2. Name and address of receiving party:

Name: **BIOPOLI S.C.a.R.L.**

Internal Address:

Street Address: **Gaspare Gozzi 8**City: **Milano** Country: **Italy** Zip:Additional name(s) & address(es) attached?  Yes  No

4. Application number(s) or registration number(s):

If this document is being filed together with a new application, the execution date of the application is: **July 26, 2000**

A. Patent Application No.(s):

B. Patent No.(s):

Additional numbers attached?  Yes  No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Raymund F. Eich**  
**Williams, Morgan & Amerson, P.C.**  
**7676 Hillmont, Suite 250**

City: **Houston** State: **Texas** Zip: **77040**6. Total number of applications and patents involved: 17. Total fee (37 C.F.R. 3.41) \$ 40.00 Enclosed Authorized to be charged to deposit account if check insufficient or inadvertently omitted8. Deposit account number: **50-0786/2028.594000RFE**  
(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.***Raymund F. Eich***Raymond F. Eich*

8/2/00

Name of Person Signing, Reg. No. 42,508

Signature

Date

Total number of pages including cover sheet, attachments and documents: 4

## EXPRESS MAIL MAILING LABEL

NUMBER: **EL522494125US**  
DATE OF DEPOSIT: **AUGUST 2, 2000**

I hereby certify that this paper or fee is being deposited with the United States Postal Service with sufficient postage "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to: BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington D.C. 20231.

*Raymund F. Eich*  
Signature

**PATENT**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

DANILO PORRO  
MICHAEL SAUER

SERIAL NO.: 09/630,983  
FILED: AUGUST 2, 2000

FOR: ASCORBIC ACID PRODUCTION FROM  
YEAST

GROUP ART UNIT: 1636

EXAMINER: L. GANSHEROFF

ATTORNEY DOCKET: 2028.594000/RFE  
2005940

**DECLARATION OF BIOLOGICAL CULTURE DEPOSIT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I, Danilo Porro, one of the named co-inventors of the application referenced above, hereby declare that:

1. I have deposited on July, 31, 2000 with the NRRL the following materials referred to in the specification of the above-referenced application.

TAXONOMIC DESCRIPTION

DEPOSIT NUMBER

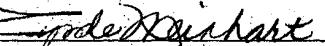
S. cerevisiae GRF18U

NRRL Y-30320

2. The date of the above deposit is on or before the US filing date of this application.
3. The name and address of the depository is:

**CERTIFICATE OF MAILING (37 C.F.R. § 1.8)**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington D.C., 20231, on the date below.

Aug. 2, 2001 

Agricultural Research Service Culture Collection (NRRL)

Microbial Genomics and Bioprocessing Research Unit

National Center for Agricultural Utilization Research

1815 North University Street

Peoria, Illinois 61604

USA

4. With respect to the permanence of the culture deposit:

- a. the depository is an official depository in accordance with the Budapest Treaty for the above deposited cultures;
- b. the depository affords permanence of the deposit for at least 30 years or at least 5 years after the most recent storage request, whichever is longest; and
- c. evidence that permanent availability of the microorganism is assured is provided in the form of the attached copy of the contract with the above-mentioned depository with respect to the deposited cultures.

I affirm that should the microorganisms mutate, become nonviable or be inadvertently destroyed, I will replace such microorganisms for at least 30 years from the date of the original deposit, or at least 5 years from the date of the most recent request for release of a sample or for the life of any patent issued on the above-mentioned application, plus six (6) years to cover the statute of limitations, whichever period is longer.

5. With respect to availability of the cultures, I affirm that the deposit has been made under conditions of assurance set forth below and that I bind myself to such conditions:

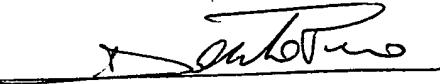
- a. ready accessibility thereto by the public if a patent is granted whereby all restrictions to the availability to the public of the culture so deposited will

be irrevocably removed upon the granting of the patent (MPEP 608.01

(p)); and

b. access to the culture will be available during pendency of the patent application to one determined by the Commissioner to be entitled thereto under 37 C.F.R. § 1.14 and 35 U.S.C. § 122. Evidence of the accessibility of the cultures as set forth above is provided in the form of the attached copy of the contract with the above-mentioned depository with respect to the deposited cultures.

6. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.



---

Danilo Porro, Inventor

Date: 24<sup>th</sup> July 2001

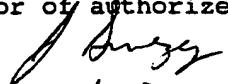
BUDAPEST TREATY ON THE INTERNATIONAL  
RECOGNITION OF THE DEPOSIT OF MICROORGANISMS  
FOR THE PURPOSE OF PATENT PROCEDURES

INTERNATIONAL FORM

TO  
A. E. Staley Manufacturing Co.  
2200 E. Eldorado Street  
Decatur, IL 62525

RECEIPT IN THE CASE OF AN ORIGINAL DEPOSIT  
issued pursuant to Rule 7.1 by the  
INTERNATIONAL DEPOSITORY AUTHORITY  
identified at the bottom of this page

NAME AND ADDRESS  
OF DEPOSITOR

<b>I. IDENTIFICATION OF THE MICROORGANISM</b>	
Identification reference given by the DEPOSITOR:  <i>Saccharomyces cerevisiae ST-1 (ERF18U)</i>	Accession number given by the INTERNATIONAL DEPOSITORY AUTHORITY:  NRRL Y-30320
<b>II. SCIENTIFIC DESCRIPTION AND/OR PROPOSED TAXONOMIC DESIGNATION</b>	
The microorganism identified under I. above was accompanied by:  <input type="checkbox"/> a scientific description  <input checked="" type="checkbox"/> a proposed taxonomic designation  (Mark with a cross where applicable)	
<b>III. RECEIPT AND ACCEPTANCE</b>	
This International Depository Authority accepts the microorganism identified under I. above, which was received by it on July 31, 2000(date of the original deposit) <sup>1</sup>	
<b>IV. RECEIPT OF REQUEST FOR CONVERSION</b>	
The microorganism identified under I. above was received by this International Depository Authority on (date of the original deposit) and a request to convert the original deposit to a deposit under the Budapest Treaty was received by it on (date of receipt of request for conversion).	
<b>V. INTERNATIONAL DEPOSITORY AUTHORITY</b>	
Name: Agricultural Research Culture Collection (NRRL) International Depository Authority  Address: 1815 N. University Street Peoria, Illinois 61604 U.S.A.	Signature(s) of person(s) having the power to represent the International Depository Authority or of authorized official(s):   Date: 10-25-00

<sup>1</sup> Where Rule 6.4(d) applies, such date is the date on which the status of international depository authority was acquired.